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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No.09/610,160
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Inventor..... Bruce Horn et al.
ApplicantMarketocracy
Attorney's Docket No.MK1-003US
Title: System and Method for Determining and Tracking Performance Metrics for
Individual Investors

**INFORMATION DISCLOSURE STATEMENT AND
CERTIFICATION UNDER 37 CFR 1.97(e)**

The citations listed, copies attached, may be material to the examination of the subject application and are therefore submitted in compliance with the duty of disclosure defined in 37 CFR §1.56. The Examiner is requested to make these citations of official record in this application.

I hereby certify that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.

Respectfully submitted,

Date: 10-16-2001

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